



Express Mail No.: EL 071 856 666 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Siegall et al.

Serial No.: 09/328,296

Filed: June 8, 1999

For: RECOMBINANT ANTI-CD40 ANTIBODY AND
USES THEREOF

Application Processing Division

Group Art Unit: 1642

Attorney Docket No.: 9632-005

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed is a copy of the Official Filing Receipt for the above-captioned application.

Applicants request correction on the filing receipt of the spelling of the name of the last inventor, which is HENRY PERRY FELL JR., and not HENRY JPERRY FELL JR. The error is highlighted on the enclosed filing receipt copy. As evidence of the correct spelling, Applicants enclose a copy of the executed Declaration and Power of Attorney that was filed for the application on June 8, 1999.

Applicants request a corrected Filing Receipt that accurately reflects the name of the last inventor as Henry Perry Fell Jr.

Since this error in the Filing Receipt is on the part of the United States Patent and Trademark Office, it is believed no fee should be charged to Applicants for correction of the Filing Receipt. However, if any fee is required, please charge the necessary fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

Date: September 30, 1999

Adriane M. Antler 32,605
Adriane M. Antler (Reg. No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Encl.

FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/328,296	06/08/99	1642	\$1,686.00	9632-005	10	37	26

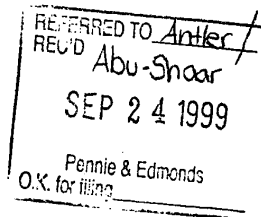
PENNIE & EDMONDS
1155 AVENUE OF THE AMERICAS
NEW YORK NY 10036-2711

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

CLAY B. SIEGALL, EDMONDS, WA; ALAN F. WAHL,
MERCER ISLAND, WA; JOSEPH A. FRANCISCO, EDMONDS, WA;
HENRY JPERRY FELL JR., REDMOND, WA.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 07/28/99 ** SMALL ENTITY **
TITLE
RECOMBINANT ANTI-CD40 ANTIBODY AND USES THEREOF
PRELIMINARY CLASS: 424



DATA ENTRY BY: SYDNOR, RUTH

TEAM: 04 DATE: 09/21/99

(See reverse for new important information)



16C1 *Sec 101*
Express Mail No.: EL 071 856 666 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Siegall et al.

Application No.: 09/328,296

Group Art Unit: 1642

Filed: June 8, 1999

Examiner: To be assigned

For: RECOMBINANT ANTI-CD40
ANTIBODY AND USES
THEREOF

Attorney Docket No.: 9632-005

RECEIVED

OCT 12 1999

TECH CENTER 1600/2900

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Sir:

A Notice To File Missing Parts Of Application (the "Notice"), pursuant to 37 C.F.R. § 1.53(d), dated July 30, 1999, has been received in connection with the above-identified application. A copy of the Notice is enclosed.

The Notice requires payment of the statutory basic filing fee and additional claims fees. Applicants respectfully submit that an Application Fee Transmittal was filed concurrently with the above-identified application authorizing payment of these fees from the deposit account of Attorneys for Applicants. After a telephone conversation with Ms. Cathy Sheffey of the United States Patent and Trademark Office ("USPTO") on September 3, 1999 in which she was advised by Attorneys for Applicants of the foregoing, the statutory basic filing fee and additional claims fees were charged to the Pennie & Edmonds LLP Deposit Account and a corrected filing receipt indicating the payment of the total fees was issued. As evidence of the foregoing, Attorneys for Applicant submit herewith a copy of the corrected filing receipt. The amount of the filing fees received is highlighted.

Applicants believe that the \$65.00 (small entity) surcharge due for responding to the Notice should not be imposed since the initial lack of payment of the fees due reflects a processing error on the part of the USPTO. However, if any fee is required, please charge it to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

Date September 30, 1999

Adriane M. Antler 32,605
Adriane M. Antler (Reg. No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Enclosure



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/328,296	06/08/99	SIEGALL	C 9632-005

0242/0730

PENNIE & EDMONDS
1155 AVENUE OF THE AMERICAS
NEW YORK NY 10036-2711

NOT ASSIGNED

1642

DATE MAILED:

07/30/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small entity (statement filed) ☐ non-small entity is \$ 1700.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 380.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 288.00 for 32 total claims over 20.

\$ 897.00 for independent claims over 3.

\$ 130.00 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Ruth Snyder
Customer Service Center
Initial Patent Examination Division (703) 308-1202